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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Rosalind Herman and Gregg Caplitz  
Serial No: 09/873,864  
Filing Date: June 4, 2001  
Title: **FOUNDATION FUNDS GENERATION SYSTEM AND METHOD**  
Art Unit: 2161

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(1))

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated below.

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**INFORMATION DISCLOSURE STATEMENT**

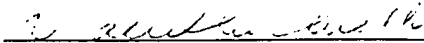
Applicant and his attorney are aware of the following publications and information, listed on the attached PTO Form 1449, and in accordance with 37 CFR §1.97 hereby submit these publications for the Examiner's consideration. This Statement is being filed more than three months from the filing date of the application, but before the receipt of any Official Action from the Patent and Trademark Office. A full copy of each cited publication is enclosed.

Applicant certifies under §1.97 (e)(1) that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign Patent Office in a counterpart for this application not more than three months prior to the filing of this Statement. No fee is required.

This statement is not to be interpreted as a representation that the cited publications are material, that an exhaustive search has been conducted, or that no other relevant information exists. Nor shall the citation of any publication herein be construed *per se* as a representation that such publication is prior art. Moreover, the Applicant understands that the Examiner will make an independent evaluation of the cited publications.

No additional costs are believed to be due in connection with the filing of this disclosure. However, please charge any necessary fees to our Deposit Account No. 50-1133.

Respectfully submitted,

  
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Date: January 4, 2002